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CASE 33338-US-PCT

FILING BY "EXPRESS MAIL" UNDER 37 CFR 1.10	
<i>EV678111796 US</i> Express Mail Label Number	<i>October 27, 2006</i> Date of Deposit

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF

RHOADES ET AL.

APPLICATION NO: 10/572,664

FILED: MARCH 20, 2006

FOR: COMPOSITIONS COMPRISING OLIGOSACCHARIDES

MS: PCT

Commissioner for Patents

PO Box 1450

Alexandria, VA 22313-1450

LETTER CORRECTING OFFICIAL FILING RECEIPT

Sir:

The official filing receipt in the above-identified application erroneously lists the "Applicant(s)" information by listing the second inventor twice and omitting the third inventor. Enclosed are copies of the Declaration and the title page of the International Publication No. WO 2005/027663 A2, which shows this to be true.

Please issue a corrected filing receipt listing the Applicant(s) information as follows:

-- Applicant(s)

Jonathan Robert Rhoades, Whiteknights, Reading, UNITED KINGDOM;

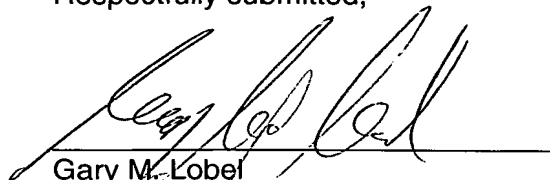
Robert Rastall, Whiteknights, Reading, UNITED KINGDOM;

Glenn R. Gibson, Whiteknights, Reading, UNITED KINGDOM; --.

A copy of the filing receipt with the noted correction is enclosed.

Applicant believes this error is ascribable to the Patent Office. Accordingly, no fees are required. However, if this is incorrect, the Commissioner is hereby authorized to charge the \$25 fee under 37 CFR §1.19(h) and any additional fees that may be required to Deposit Account No. 19-0134 in the name of Novartis.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Gary M. Lobel", is written over a horizontal line.

Gary M. Lobel
Attorney for Applicants
Reg. No. 51,155

Novartis
Corporate Intellectual Property
One Health Plaza, Building 104
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Date: 27 Oct 2006



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/572,664	03/20/2006	1615	2860	33338-US-PCT	6	26	9

CONFIRMATION NO. 4631

1095
 NOVARTIS
 CORPORATE INTELLECTUAL PROPERTY
 ONE HEALTH PLAZA 104/3
 EAST HANOVER, NJ 07936-1080

FILING RECEIPT



OC000000020384236

Date Mailed: 09/12/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

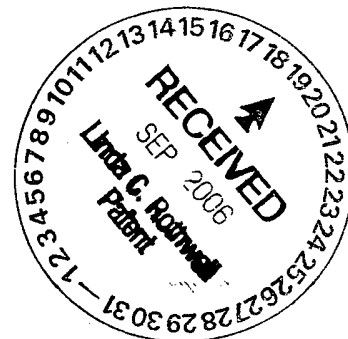
Applicant(s)

Jonathan Robert Rhoades, Whiteknights, Reading, UNITED KINGDOM;
 Robert Rastall, Whiteknights, Reading, UNITED KINGDOM;
~~Robert Rastall, Whiteknights, Reading, UNITED KINGDOM;~~
 Glenn R. Gibson, Whiteknights, Reading, UNITED KINGDOM;

Power of Attorney: The patent practitioners associated with Customer Number 1095.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/EP04/10469 09/17/2004



Foreign Applications

UNITED KINGDOM 0321996.1 09/19/2003

If Required, Foreign Filing License Granted: 09/11/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/572,664**

Projected Publication Date: 12/21/2006

Non-Publication Request: No

Early Publication Request: No

Title

Compositions comprising oligosaccharides

Preliminary Class

514

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Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

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Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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DECLARATION AND POWER OF ATTORNEY FOR UNITED STATES PATENT APPLICATION☒ Original☐ Supplemental☐ Substitute

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name, and

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter which is claimed and for which a United States patent is sought on the invention entitled

COMPOSITIONS COMPRISING OLIGOSACCHARIDES

the specification of which:

☐ is attached hereto.

☐ was filed on _____ as Application No. _____
(day/month/year)

and, if this box (☐) contains an *

☐ was amended on _____
(day/month/year)

☒ was filed as Patent Cooperation Treaty international Application No.

PCT/EP2004/010469 on 17/09/2004
(day/month/year)

and, if this box (☐) contains an *

☐ entered the national stage in the United States and was accorded Application No. _____

and, if this box (☐) contains an *

☐ was amended, subsequent to entry into the national stage, on _____
(day/month/year)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) specifically referred to above and, if this application was filed as a Patent Cooperation Treaty international application, by any amendments made during the international stage (including any made under Patent Cooperation Treaty Rule 91, Article 19 and Article 34).

I acknowledge my duty to disclose information which is material to patentability as defined in 37 C.F.R. 1.56, including, for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or Patent Cooperation Treaty international filing date of the continuation-in-part application.

I hereby claim the benefit under 35 U.S.C. 119(a)-(d) or (f) or 365(b) of any foreign application(s) for patent, inventor's certificate or plant breeder's right certificate listed below and under 35 U.S.C. 365(a) of any Patent Cooperation Treaty international application(s) designating at least one country other than the United States listed below and have also listed below any foreign application(s) for patent, inventor's certificate or plant breeder's right certificate and Patent Cooperation Treaty international application(s) designating at least one country other than the United States for the same subject matter and having a filing date before that of the application the priority of which is claimed for that subject matter:

COUNTRY/REGION (OR P.C.T.)	APPLICATION No.	FILING DATE (day/month/year)	PRIORITY CLAIMED	
GB	0321996.1	19/09/2003	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below:

APPLICATION NO.	FILING DATE (day/month/year)
-----------------	---------------------------------

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s) listed below and under 35 U.S.C. 365(c) of any Patent Cooperation Treaty international application(s) designating the United States listed below:

United States Application No.	United States Filing Date (day/month/year)	Status (Pending, Abandoned or U.S. Patent No.)	International Application No. and Filing Date (day/month/year)
----------------------------------	--	--	--

I hereby appoint all of the registered practitioners associated with Customer No. 001095, respectively and individually, as my attorneys and agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

If this box (☐) contains an x ☒, I hereby authorize the registered practitioners associated with Customer No. 001095 and any others acting on my behalf to take any action relating to this application based on communications from Corporate Intellectual Property of Novartis International AG, Basle, Switzerland, or an affiliate thereof or a successor thereto, without direct communication from me.

Please send all correspondence relating to this application to the address associated with Customer No. 001095.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Full name of sole
or first joint inventor

Jonathan Robert RHOADES

Inventor's signature



Date

2/3/06

(day/month/year)

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Citizenship

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Full name of second
joint inventor, if any

Robert RASTALL

Inventor's signature



Date

27/2/2006

(day/month/year)

Residence

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Citizenship

citizen of Great Britain

Post Office Address

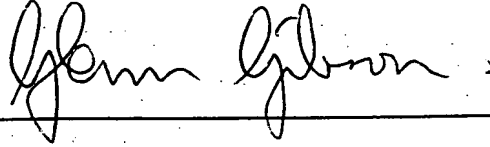
**The University of Reading, PO Box
226, Whiteknights, Reading RG6 6AP,
Great Britain**

IMPORTANT: Before this declaration is signed, the patent application (the specification, the claims and this declaration) must be read and understood by each person signing it, and no changes may be made in the application after this declaration has been signed.

Full name of third
joint inventor, if any

Glenn R. GIBSON

Inventor's signature



Date

24/2/06

(day/month/year)

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Citizenship

citizen of Great Britain

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Great Britain**

Full name of fourth
joint inventor, if any

Inventor's signature

Date

(day/month/year)

Residence

Citizenship

Post Office Address

Full name of fifth
joint inventor, if any

Inventor's signature

Date

(day/month/year)

Residence

Citizenship

Post Office Address

(19) World Intellectual Property
Organization
International Bureau



(43) International Publication Date
31 March 2005 (31.03.2005)

PCT

(10) International Publication Number
WO 2005/027663 A2

(51) International Patent Classification⁷: **A23L 1/308**,
A61K 31/00

(74) Agent: **KELLY, Ingrid**; Novartis AG, Corporate Intellectual Property, CH-4002 Basel (CH).

(21) International Application Number:
PCT/EP2004/010469

(81) Designated States (*unless otherwise indicated, for every kind of national protection available*): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BW, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, EG, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NA, NI, NO, NZ, OM, PG, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, SY, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM, ZW.

(22) International Filing Date:
17 September 2004 (17.09.2004)

(25) Filing Language: English

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(30) Priority Data:
0321996.1 19 September 2003 (19.09.2003) GB

(84) Designated States (*unless otherwise indicated, for every kind of regional protection available*): ARIPO (BW, GH, GM, KE, LS, MW, MZ, NA, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European (AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IT, LU, MC, NL, PL, PT, RO, SE, SI, SK, TR), OAPI (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

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(72) Inventors; and

(75) Inventors/Applicants (*for US only*): **RHOADES, Jonathan, Robert** [GB/GB]; The University of Reading, PO Box 226, Whiteknights, Reading RG6 6AP (GB). **RASTALL, Robert** [GB/GB]; The University of Reading, PO Box 226, Whiteknights, Reading RG6 6AP (GB). **GIBSON, Glenn, R.** [GB/GB]; The University of Reading, PO Box 226, Whiteknights, Reading RG6 6AP (GB).

Published:

— *without international search report and to be republished upon receipt of that report*

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: COMPOSITIONS COMPRISING OLIGOSACCHARIDES

(57) Abstract: The present invention concerns compositions comprising a saccharide for the inhibition of pathogen adhesion to mammalian cells.



WO 2005/027663 A2